

**Form PTO-1449** (modified)

List of Patents and Publications  
For Applicant's Information  
Disclosure Statement  
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-00600

SERIAL NO: 09/460,045

APPLICANT: Nesmith et al.

FILING DATE: December 13, 1999

GROUP: 2768

**U.S. PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

**FOREIGN PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

EC	AA	Standard & Poor's ComStock, "Xpresso," 5 pages, © 1998 Standard & Poor's ComStock.					

EXAMINER: *E. Albert*DATE CONSIDERED: *3-5-03*

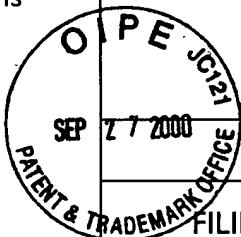
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

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QC	B1	4,674,044	6/1987	Kalmus et al.	705	37	
QC	B2	5,347,452	9/1994	Bay, Jr.	705	37	
QC	B3	5,787,402	7/1998	Potter et al.	705	37	
QC	B4	5,950,176	9/1999	Keiser et al.	705	37	
QC	B5	6,014,643	1/2000	Minton	705	37	
QC	B6	6,016,483	1/2000	Rickard et al.	705	37	

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QC	B7	Press Release, "3DStockCharts.com Teams Up With ECN Industry Leader," October 1999, pp. 1-2.					
QC	B8	"Real Tick III Tutorial," © 1999 The Momentum Trader and Swingtrader.net, 6 pgs.					
QC	B9	"Using the Order Entry Screen in Real Tick III," January 1999, pp. 1-2.					

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*E. Colbert*

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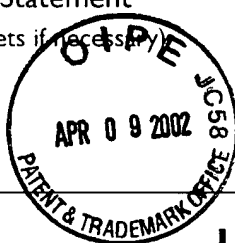
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EC	C1	6,260,025	7/2001	Silverman, et al.	705	37	
EC	C2	6,006,206	12/1999	Smith, et al.	705	35	
EC	C3	5,987,432	11/1999	Zusman, et al.	705	35	
EC	C4	5,966,531	10/1999	Skeen, et al.	709	315	
EC	C5	5,924,083	7/1999	Silverman, et al.	705	37	
EC	C6	5,924,082	7/1999	Silverman, et al.	705	37	
EC	C7	5,727,165	3/1998	Ordish, et al.	705	37	
EC	C8	5,195,031	3/1993	Ordish	705	37	
EC	C9	5,136,501	8/1992	Silverman, et al.	705	37	

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EC	CI0	5,077,665	12/1991	Silverman, et al.	715	37	
EC	CI1	5,034,916	7/1991	Ordish	709	204	
EC	CI2	5,003,473	3/1991	Richards	705	37	
EC	CI5	4,750,135	6/1988	Boilen	709	231	
EC	CI6	4,745,559	5/1988	Willis, et al.	705	37	
EC	CI7	6,278,982	8/2001	Korhammer, et al.	705	37	

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EL	D1	6,317,728 B1	11/13/01	Kane	705	31	
EL	D2	5,819,238	10/06/98	Fernholz	705	34	
EL	D3	5,640,505	06/17/97	Hearn et al.	714	4	

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<del>—</del>	D4	International Search Report, PCT/US02/16267, mailed August 20, 2002. <i>Mining</i>				

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